

EXHIBIT 2

(K. Imhoff Disclosures to PFSI)

2005 ACM Response and Disclosure Form Securities



ACM04S5460

S5460-S5460

IMHOFF, KEVIN JAMES

Annual Compliance Meeting 2005 (Life)

I have reviewed and understood the compliance rules and regulations noted in the Annual Compliance Meeting presentation, have completed the Annual Compliance Section of the Program, and have reviewed the Representations for Primerica Representatives in the Workbook. Any representation that I cannot make is noted on the Disclosure and/or Discrepancies form on the back of this page with a brief explanation—Use the lines at the bottom of the form and/or a separate sheet.

- ☒ I have no disclosures and/or discrepancies to report. (DO NOT write on the reverse side of this page - it does not apply if this box is checked.)
- ☐ I have new disclosures and/or discrepancies to report that have not been previously reported to Primerica, and I have done so on the 2005 ACM Disclosure and/or Discrepancies form (located on the back of this page).

Debt Continuing Education 2005 (HMB)

I have completed this section of the Regulatory Program, and reviewed the Representations for PFSHM Representatives in the Workbook. Any representation that I cannot make is noted on the Disclosure and/or Discrepancies form on the back of this page with a brief explanation.

Firm Element/ACM Continuing Education 2005 (Securities)

I have completed this section of the Regulatory Program and reviewed the Representations for PFSI Registered Representatives in the Workbook. Any representation I cannot make is noted on the Disclosure and/or Discrepancies form on the back of this page. If there is not a check box that matches the disclosure and/or discrepancy you need to report, note the representation number and a brief explanation on the lines at the bottom of the page and/or a separate sheet.

Return completed ACM Response and Disclosure Form to the Home Office as soon as possible.

By signing below, I certify that I have personally attended and correctly completed the 2005 Annual Compliance Meeting, the 2005 Firm Element/ACM (Securities CE) and 2005 Debt CE meeting, as required by the licenses I hold or the products I sell. My signature makes me accountable for compliance with the law and with Citigroup and Primerica ethics and compliance policies. I will use due diligence to ensure that my business conduct, the conduct of those I supervise, and the business conduct of my associates, is in compliance with the law and with Citigroup and Primerica policy.

By signing below, I also certify that I have read and accurately completed the 2005 ACM Disclosure and/or Discrepancies (if applicable) on the reverse side of this form.

I will report any suspected violation of a law, regulation or Citigroup / Primerica compliance standard, and any request made of me to do anything improper or illegal, to my upline RVP, to my OJW and to appropriate members of the Office of the General Counsel. I have reported any such matters arising in 2005 to such persons. Any disclosures not previously made to such persons are included in detail on the reverse side on the Disclosure and/or Discrepancies form. I have read the PFSI Supervision Procedures and agree to follow the requirements in them, as well as all amendments to them.

I will require of myself, and will expect from my fellow Reps, the highest level of ethical conduct.

Rep's Signature

Kevin J. Imhoff

Rep's Printed Name (as signed)

11/5/05

Date

OJW as RVP Principal/Producer's Signature

11/5/05

Date



ACM04S5460

FORM 507 7-05

2005 AGM DISCLOSURES AND/OR DISCREPANCIES - Securities

Use this form to report any representation(s) as outlined in the respective section of the 2005 Worksheet for periods when you are authorized to represent, and that you do not meet in the year 2005 or that you do not agree to meet. Be sure to provide any outside supporting documents, which may include, but not be limited to, court orders, written procedures, authorizations, lists of individuals involved, addresses and phone numbers for individuals involved. If you report disclosures or discrepancies on this form, you must provide your RFP with a copy. Call the Compliance Help Desk at 1-800-343-4001 for any questions regarding disclosures/discrepancies.

Your signature on the reverse side of this form certifies the accuracy of the information on this page.

Check the applicable disclosure(s) you are making and follow the additional instructions:

☐ Changes in employment

☐ Outside Brokerage Account (407) - You must submit with this form a signed, written statement including name and address of financial institution where outside account is held, and account number if account has been established.

☐ Outside Business Activity

For change in employment or Outside Business Activity, you must complete and submit pages 1 and 2 of the Form U1 and submit this information to PFS Investments, RRA Department, as soon as possible.

☐ Bankruptcy, Judgment, or Lien

☐ Regulatory Action

☐ Misdemeanor or Felony Charge(s) and/or Conviction(s)

☐ CML Out

☐ Customer Complaint not previously disclosed

For the items referenced directly above, you must complete and submit pages 3A, 3B and 4 of the Form U1, along with the appropriate DCP, and certified copies of any and all court related documents to PFS Investments, RRA Department, as soon as possible.

If you are employed or work as a real estate agent or real estate broker, please complete the following:

License(s) held with:

Type(s) of real estate license(s) held:

☐ Sales Agent

☐ Broker

Have you formally placed your real estate license(s) in an inactive status with your State?

☐ Yes

☐ No

If no, please explain:

CONFIRM AGENT PFSI and CRD ADDRESSES**PFSI Home Address**

1834 SETTLERS HILL DR
LANSING MI 48917-1284

CRD Home Address

1834 SETTLERS HILL DRIVE
LANSING MI 48917

1. If both the PFSI and CRD system addresses provided above are correct, please check the box below:

☒ The CRD and PFSI Home addresses provided are correct.

2. If either of the addresses provided is incorrect, please provide your correct home address in the space provided and check the appropriate box.

☐ PFSI is wrong and CRD is correct

☐ CRD is wrong and PFSI is correct

☐ Both addresses are incorrect

Correct Home Address:

Street Address (No PO Box)

City

State

Zip Code

PFSI Business Address

924 CENTENNIAL WAY
STE 400
LANSING MI 48917-8247

CRD Business Address

924 CENTENNIAL WAY STE 400
LANSING MI 48917

3. If both the PFSI and CRD system addresses provided above are correct, please check the box below:

☒ The CRD and PFSI Business addresses provided are correct.

4. If either of the addresses provided is incorrect, please provide your correct business address in the space provided and check the appropriate box.

☐ PFSI is wrong and CRD is correct

☐ CRD is wrong and PFSI is correct

☐ Both addresses are incorrect

Correct Business Address:

Street Address (No PO Box)

City

State

Zip Code

Representation

Explanation

00001.5936.000 (42/42)

2006 ACM Response and Disclosure Form Securities



ACM04S5460

IMHOFF, KEVIN

SS46U-SS460

Annual Compliance Meeting 2006 (Life)

I have reviewed and understand the compliance rules and regulations noted in the Annual Compliance Meeting presentation, have completed the Annual Compliance Section of the Program, and have reviewed the Representations for Primerica Representatives published with the Workbook on POL. Any representation that I cannot make is noted on the Disclosure and/or Discrepancies form on the back of this page with a brief explanation—Use the lines at the bottom of the form and/or a separate sheet.

I have no disclosures and/or discrepancies to report. (DO NOT write on the reverse side of this page - it does not apply if this box is checked.) ☒

I have new disclosures and/or discrepancies to report that have not been previously reported to Primerica, and I have done so on the 2006 ACM Disclosure and/or Discrepancies form (located on the back of this page). ☐

Debt Continuing Education 2006 (HMI)

I have completed this section of the Regulatory Program, and reviewed the Representations for PFSHM Representatives published with the Workbook on POL. Any representation that I cannot make is noted on the Disclosures and/or Discrepancies form on the back of this page with a brief explanation. ☒

Firm Element/ACM Continuing Education 2006 (Securities)

I have completed this section of the Regulatory Program and reviewed the Representations for PFSI Registered Representatives published with the Workbook on POL. Any representation I cannot make is noted on the Disclosures and/or Discrepancies form on the back of this page. If there is not a check box that matches the disclosure and/or discrepancy you need to report, note the representation number and a brief explanation on the lines at the bottom of the page and/or a separate sheet. ☒

Return completed ACM Response and Disclosure Form to the Home Office as soon as possible.

By signing below, I certify that I have personally attended and correctly completed the 2006 Annual Compliance Meeting, the 2006 Firm Element/ACM (Securities CE) and 2006 Debt CE meeting, as required by the licenses I hold or the products I sell. My signature makes me accountable for compliance with the law and with CitiGroup and Primerica ethics and compliance policies. I will use due diligence to ensure that my business conduct, the conduct of those I supervise, and the business conduct of my associates, is in compliance with the law and with CitiGroup and Primerica policy.

By signing below, I also certify that I have read and accurately completed the 2006 ACM Disclosure and/or Discrepancies (if applicable) on the reverse side of this form.

I will report any suspected violation of a law, regulation or CitiGroup / Primerica compliance standard, and any request made of me to do anything improper or illegal, to my upline RVP, to my OSJ and to appropriate members of the Office of the General Counsel. I have reported any such matters arising in 2006 to such persons. Any disclosures not previously made to such persons are included in detail on the reverse side on the Disclosures and/or Discrepancies form. I have read the PFSI Supervisor Procedures and agree to follow the requirements in them, as well as all amendments to them.

I will require of myself, and will expect from my fellow Reps, the highest level of ethical conduct.

Rep's Signature

Kevin J. Imhoff

Rep's Printed Name (as signed)

OSJ or RVP Principal/Primerica's Signature

11/24/06

Date

11/24/06

Date



ACM04S5460

ACM04S5460

2006 ACM DISCLOSURES AND/OR DISCREPANCIES - Securities

Use this form to explain representation(s) as outlined in the "Corporate Section of the 2005 Worksheet" prepared on PDI for products which you are authorized to represent and that you do not meet in the year 2006 or that you do not agree to meet. Be sure to provide any available supporting documents when they are relevant, but not be limited to court orders, written procedures, authorizations, lists of individuals involved, addresses and phone numbers for individuals involved. If you report disclosures or discrepancies on this form, you must provide your RVP with a copy. Call the Compliance Help Desk at 1-800-743-6731 with any questions regarding disclosures or discrepancies.

Your signature on the reverse side of this form certifies the accuracy of the information on this page.

Check the applicable disclosure(s) you are making and follow the additional instructions:

☐ Changes in employment

☐ Outside Business Activity

For change in employment or Outside Business Activity you must complete and submit pages 1 and 2 of the Form U4 and submit this information to PFS Investments, SFR Department, as soon as possible.

☐ Outside Brokerage Account (437) - You must submit with this form a signed, written statement including name and address of financial institution where outside account is held, and account number if account has been established.

☐ Bankruptcy, Judgment, or Lien

☐ Civil Suit

☐ Regulatory Action

☐ Misdemeanor or Felony Charge(s) and/or Conviction(s)

☐ Customer Complaint not previously disclosed

For the items referenced directly above you must complete and submit pages 3A, 3D and 4 of the Form U4, along with the appropriate DRP, and certified copies of any and all court related documents to PFS Investments, SFR Department, as soon as possible.

If you are employed or work as a real estate agent or real estate broker, please complete the following:

License(s) held with:

Type(s) of real estate license(s) held:

☐ Sales Agent

☐ Broker

Have you formally placed your real estate license(s) in an inactive status with your State?

☐ Yes

☐ No

If no, please explain: _____

CONFIRM AGENT PFSI and CRD ADDRESSES**PFSI Home Address**

1534 SETTLERS HILL DR
LANSING MI 48917-1284

CRD Home Address

1534 SETTLERS HILL DRIVE
LANSING MI 48917

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☐ PFSI is wrong and CRD is correct

☐ CRD is wrong and PFSI is correct

☐ Both addresses are incorrect

Correct Home Address:

Street Address (Use PO Box)

City

State

Zip Code

PFSI Business Address

924 CENTENNIAL WAY
STE 400
LANSING MI 48917-8247

CRD Business Address

924 CENTENNIAL WAY
SUITE 400
LANSING MI 48917

3. If both the PFSI and CRD system addresses provided above are correct, please check the box below:

☒ The CRD and PFSI Business addresses provided are correct

4. If either of the addresses provided is incorrect, please provide your correct business address in the space provided and check the appropriate box.

☐ PFSI is wrong and CRD is correct

☐ CRD is wrong and PFSI is correct

☐ Both addresses are incorrect

Correct Business Address:

Street Address (Use PO Box)

City

State

Zip Code

Representation

Explanation

2005



ANNUAL COMPLIANCE MEETING 2005



FREEDOM WITH RESPONSIBILITY

Maintaining a Culture of Compliance



Outside Business Activities

Introduction

An "outside business activity" is any activity outside of Primerica for which a person receives compensation. Unauthorized outside activities can present a serious potential for compliance violations (Refer to Chapters 9.2 and 10.1 of the Securities Compliance Manual and the Licensing Conflicts of Interest Chart). Representatives who engage in outside business activities must be aware of the significant compliance rules applicable to their activity.

NASD rules prohibit securities registered representatives and associated persons (those who have completed their Form U4s but are not yet "licensed") from being employed by, or accepting compensation from any person, company or organization without prompt written notice to Primerica. Written notice regarding OBAs must be provided to the Representative's OSJ, RVP, and PFS Investments by submitting a Form U4 amendment, using pages 1 and 2 of the Form U4. This notice requirement relates to any outside activities including those that were not indicated on the Representative's Form U4 when he or she applied to become a registered representative. An every initial Form U4 submitted to PFS Investments Inc. must include any outside business activities, reported in Item 12 of the Form U4.

All Associated Persons and Registered Representatives must promptly submit a Form U4 amendment, using pages 1 and 2 of the Form U4, to PFS Investments—Licensing at the Home Office, when they are involved in any of the following:

- Any activity, including full- or part-time employment, from which they receive compensation that is not from one of the Primerica companies (commonly known as an outside business activity).

All Primerica Representatives must understand and abide by the following:

- Representatives below the level of RVP MAY engage in non-Primerica multi-level marketing activities that do not represent a conflict of interest with any Primerica company BUT — Representatives MAY NOT do so in any manner that interferes with the Primerica field force, they may not do so in a manner that may confuse consumers, and they may not do so in a manner that detracts from the goodwill and reputation of Primerica.
- Representatives MAY market ONLY Primerica financial products and services.
- Representatives may not MAY NOT market or be licensed to market non-Primerica approved financial products and services, whether or not Primerica offers a similar product.

All Securities Licensed Representatives must understand and abide by the following:

- Securities registered representatives or associated persons are subject to additional notification requirements for outside business activities. Moreover, they must ensure that their Form U4s are always updated to reflect all outside business activities accurately, including any employment or changes in employment (See Securities Compliance Manual, Chapter 10.1) by submitting a Form U4 amendment, using pages 1 and 2 of the Form U4, to PFSI Licensing. Representatives may only market Primerica financial products and services must be notified of outside business activities of representatives by the filing of an OBA Form (add link to OBA Form).

- No Representative may ever "sell away" (participate directly or indirectly in the recommending, marketing, promotion or selling of securities or investments of any kind that have not been approved in writing by Primerica's Office of the General Counsel). Remember that certain activities may constitute the recommending, marketing, promoting or selling a security even though, to the layperson, they may not appear to do so. See the Representative Section of the General Manual in Chapter 4.5 for additional details.
- Associated Persons' and Registered Representatives' outside business activities are subject to the supervisory review of their upline RVP, OSI, and the Home Office

Primerica is also concerned about any potential conflict of interest (i.e., an activity that, in appearance or in fact, sets a Representative's interests and his or her client's interests at odds). There are specific industry regulations governing conflicts of interest and, when no regulation applies, representatives should use common sense and guidance that is provided by Primerica, as well as following the terms of their Primerica Agent Agreements.

Restricted Activities

The following activities may be conducted subject to limitations outlined below. Written permission is not required unless specified.

- Being a director, trustee, partner, consultant or officer for any business, corporation or partnership of any type, including charitable, family and private organizations. **Restrictions:** PFSI clients (no matter who their registered rep is) may not be partners or otherwise own a portion of the business, and representatives must not solicit investors, be involved in or influence investment choices or decisions, or have control of or access to the organization's money or securities except when the business is owned solely by the representative or the representative's immediate family members.
- Any non-profit or charitable fund-raising efforts. **Restrictions:** Representatives may not serve as treasurer (if the treasurer has sole signature authority on accounts or handles cash) or have control of or access to the funds raised. Representatives may not be involved in any fund-raising activities that might promise a return or provide a return to an investor (for example, the sale of church bonds)
- For immediate family members only, representatives may act as a trustee, custodian, executor, power of attorney, joint account holder, or conduct other activities that involve having access to or control of another person's or entity's money or securities. **Restrictions:** When acting in one of the foregoing capacities for an immediate family member, the representative may not be the writing representative on any PFSI account the representative controls (except UGMA and UTMA accounts for the representative's own children) and the representative may not receive overrides from the writing representative on the account. These activities are prohibited for all persons and entities except immediate family members.
- Real estate investing (e.g., rental properties, commercial buildings, etc.). **Restrictions:** The representative must be a passive investor only and, if there are other investors, they must be the representative's immediate family members. The investment must not be a real estate investment trust (REIT). The entity holding the investment may be any type of entity (e.g., sole proprietorship, partnership, LLC, corporation, etc.). The representative may not solicit investments into the enterprise. Broadcasting, teaching, speaking or writing activities (submit a Speaking Engagement Request Form [link to form], as shown in the Advertising Handbook, and receive approval prior to participating)
- Any activity involving private securities transactions except personally investing in them. **Restrictions:** Representatives may invest in private securities transactions only if they are not compensated for the transaction and only if they receive the prior written approval of the firm (via request to Field Supervision).

Selling Away

Selling Away is defined as selling, marketing or recommending to any person an investment not offered by Primerica.

Red Flags of Selling Away:

- Unexplained drop in income and/or activity;
- Unusual redemptions from customer accounts;
- Representative living beyond known means;
- Incidents of Representative borrowing money;
- Suspicious phone calls at the office from non-customers.

E-Mail Policy

Communications with Customers and the Public:

- PFSI Representatives are prohibited from sending e-mails (and instant messages) regarding securities to their existing customers, to any prospective customer, or to any other member of the public (which includes all non-securities licensed PFS Representatives). This rule prohibits a PFSI Representative from:
 - Sending e-mail to existing customers about their investments purchased through PFSI, to solicit additional securities business, or to otherwise discuss securities or investments.

- Sending e-mail to anyone else (including all non-securities licensed PFS Representatives) to solicit securities business or otherwise discuss securities or investments.

- If you receive an e-mail from an existing or prospective customer regarding securities business, you may reply by e-mail, but only (i) to explain that you cannot discuss securities matters by e-mail, and (ii) to arrange to discuss the matter in person or by telephone. Following is a suggested format you could use:

"I have received your e-mail. At this time my firm does not permit its Representatives to discuss securities or investment matters via e-mail. Sorry for the inconvenience. I will call you to discuss your e-mail. Thanks."

Because the limited reply does not contain securities content, it would not have to be approved by a Principal prior to sending, nor would you have to put a copy in the outgoing correspondence file in the office. However, you must print a copy of the e-mail you received and place it in the office's incoming correspondence file, and if the e-mail is from a customer, put a copy in the customer's file.

FORM U4 **UNIFORM APPLICATION FOR SECURITIES INDUSTRY** **REGISTRATION OR TRANSFER**

U4 - AMENDMENT 01/27/2005

Rev. Form U4 (06/2003)

Individual Name: IMHOFF, KEVIN JAMES (1464384)

Firm Name: PFS INVESTMENTS INC. (10111)

1. GENERAL INFORMATION

First Name: KEVIN	Middle Name: JAMES	Last Name: IMHOFF	Suffix:
Firm CRD #: 10111	Firm Name: PFS INVESTMENTS INC.	Employment Date (MM/DD/YYYY): 01/22/1986	CRD Branch #:
Firm Billing Code:	Individual CRD #: 1464384	Individual SSN: 1246	
Office of Employment Address Street 1: 924 CENTENNIAL WAY STE 400		Office of Employment Address Street 2:	
City: LANSING	State: Michigan	Country:	Postal Code: 48917

Private Residence Check Box:

If the Office of Employment address is a private residence, check this box. ☐

2. FINGERPRINT INFORMATION

Electronic Filing Representation

- ☒ By selecting this option, I represent that I am submitting, have submitted, or promptly will submit to the appropriate SRO a fingerprint card as required under applicable SRO rules; or
Fingerprint card barcode
- ☐ By selecting this option, I represent that I have been employed continuously by the *filing firm* since the last submission of a fingerprint card to CRD and am not required to resubmit a fingerprint card at this time; or,
- ☐ By selecting this option, I represent that I have been employed continuously by the *filing firm* and my fingerprints have been processed by an SRO other than NASD. I am submitting, have submitted, or promptly will submit the processed results for posting to CRD.

Exceptions to the Fingerprint Requirement

- ☐ By selecting one or more of the following two options, I affirm that I am exempt from the federal fingerprint requirement because I/*filing firm* currently satisfy(ies) the requirements of at least one of the permissive exemptions indicated below pursuant to Rule 17f-2 under the Securities Exchange Act of 1934, including any notice or application requirements specified therein:
 - ☐ Rule 17f-2(a)(1)(i)
 - ☐ Rule 17f-2(a)(1)(iii)

Investment Adviser Representative Only Applicants

- ☐ I affirm that I am applying only as an investment adviser representative and that I am not also applying or have not also applied with this *firm* to become a broker-dealer representative. If this radio button/box is selected, continue below.
 - ☐ I am applying for registration only in *jurisdictions* that do not have fingerprint card filing requirements, or

- ☒ I am applying for registration in *jurisdictions* that have fingerprint card filing requirements and I am submitting, have submitted, or promptly will submit the appropriate fingerprint card directly to the *jurisdictions* for processing pursuant to applicable *jurisdiction* rules.

3. REGISTRATIONS WITH UNAFFILIATED FIRMS

Some *jurisdictions* prohibit "dual registration," which occurs when an individual chooses to maintain a concurrent registration as a representative/agent with two or more *firms* (either BD or IA *firms*) that are not affiliated. *Jurisdictions* that prohibit dual registration would not, for example, permit a broker-dealer agent working with brokerage *firm* A to maintain a registration with brokerage *firm* B if *firms* A and B are not owned or controlled by a common parent. Before seeking a dual registration status, you should consult the applicable rules or statutes of the *jurisdictions* with which you seek registration for prohibitions on dual registrations or any liability provisions.

Please indicate whether the individual will maintain a "dual registration" status by answering the questions in this section. (Note: An individual should answer 'yes' only if the individual is currently registered and is seeking registration with a *firm* (either BD or IA) that is not affiliated with the individual's current employing *firm*. If this is an initial application, an individual must answer 'no' to these questions; a "dual registration" may be initiated only after an initial registration has been established).

Answer "yes" or "no" to the following questions:

- | | Yes | No |
|---|-----------------------|----------------------------------|
| A. Will <i>applicant</i> maintain registration with a broker-dealer that is not <i>affiliated</i> with the <i>filing firm</i> ? If you answer "yes," list the <i>firm</i> (s) in Section 12 (Employment History). | <input type="radio"/> | <input checked="" type="radio"/> |
| B. Will <i>applicant</i> maintain registration with an investment adviser that is not <i>affiliated</i> with the <i>filing firm</i> ? If you answer "yes," list the <i>firm</i> (s) in Section 12 (Employment History). | <input type="radio"/> | <input checked="" type="radio"/> |

4. SRO REGISTRATIONS

Check appropriate SRO Registration requests.

Qualifying examinations will be automatically scheduled if needed. If you are only scheduling or re-scheduling an exam, skip this section and complete Section 7 (EXAMINATION REQUESTS).

REGISTRATION CATEGORY	NASD	NYSE	AMEX	BSE	NSX	PCX	CBOE	CHX	PHLX	ISE	NQX
OP - Registered Options Principal (S4)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
IR - Investment Company and Variable Contracts Products Rep. (S6)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
GS - Full Registration/General Securities Representative (S7)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
TR - Securities Trader (S7)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
TS - Trading Supervisor (S7)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SU - General Securities Sales Supervisor (S9 and S10)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
BM - Branch Office Manager (S9 and S10)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SM - Securities Manager (S12)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
AR - Assistant Representative/Order Processing (S11)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
REGISTRATION CATEGORY	NASD	NYSE	AMEX	BSE	NSX	PCX	CBOE	CHX	PHLX	ISE	NQX
IE - United Kingdom - Limited General Securities Registered Representative (S17)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
DR - Direct Participation Program Representative (S22)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

GP - General Securities Principal (S24)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
IP - Investment Company and Variable Contracts Products Principal (S26)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FA - Foreign Associate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FN - Financial and Operations Principal (S27)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FI - Introducing Broker-Dealer/Financial and Operations Principal (S28)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
RS - Research Analyst (S86, S87)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
RP - Research Principal	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
DP - Direct Participation Program Principal (S39)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
OR - Options Representative (S42)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
REGISTRATION CATEGORY	NASD	NYSE	AMEX	BSE	NSX	PCX	CBOE	CHX	PHLX	ISE
MR - Municipal Securities Representative (S52)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
MP - Municipal Securities Principal (S53)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CS - Corporate Securities Representative (S62)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
RG - Government Securities Representative (S72)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PG - Government Securities Principal (S73)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SA - Supervisory Analyst (S16)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PR - Limited Representative - Private Securities Offerings (S82)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CD - Canada-Limited General Securities Registered Representative (S37)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CN - Canada-Limited General Securities Registered Representative (S38)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
REGISTRATION CATEGORY	NASD	NYSE	AMEX	BSE	NSX	PCX	CBOE	CHX	PHLX	ISE
ET - Equity Trader (S55)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
AM - Allied Member	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
AP - Approved Person	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
LE - Securities Lending Representative	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
LS - Securities Lending Supervisor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ME - Member Exchange	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
FE - Floor Employee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
OF - Officer	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
CO - Compliance Official (S14)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
REGISTRATION CATEGORY	NASD	NYSE	AMEX	BSE	NSX	PCX	CBOE	CHX	PHLX	ISE
CF - Compliance Official Specialist (S14A)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PM - Floor Member Conducting Public Business	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
PC - Floor Clerk Conducting Public Business	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SC - Specialist Clerk (S21)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
TA - Trading Assistant (S25)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SF - Single Stock Futures (S43)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

FP - Municipal Fund (S51)

IF - In-Firm Delivery Proctor

MM - Market Maker

REGISTRATION CATEGORY

FB - Floor Broker

MB - Market Maker acting as Floor Broker

Other _____ (Paper Form Only)

NASD NYSE AMEX BSE NSX PCX CBOE CHX PHLX ISE NQX

5. JURISDICTION REGISTRATIONCheck appropriate *jurisdiction(s)* for broker-dealer agent (AG) and/or investment adviser representative (RA) registration requests.

JURISDICTION	AG	RA	JURISDICTION	AG	RA	JURISDICTION	AG	RA	JURISDICTION	AG	RA
Alabama	<input type="checkbox"/>	<input type="checkbox"/>	Illinois	<input type="checkbox"/>	<input type="checkbox"/>	Montana	<input type="checkbox"/>	<input type="checkbox"/>	Puerto Rico	<input type="checkbox"/>	<input type="checkbox"/>
Alaska	<input type="checkbox"/>	<input type="checkbox"/>	Indiana	<input type="checkbox"/>	<input type="checkbox"/>	Nebraska	<input type="checkbox"/>	<input type="checkbox"/>	Rhode Island	<input type="checkbox"/>	<input type="checkbox"/>
Arizona	<input type="checkbox"/>	<input type="checkbox"/>	Iowa	<input type="checkbox"/>	<input type="checkbox"/>	Nevada	<input type="checkbox"/>	<input type="checkbox"/>	South Carolina	<input type="checkbox"/>	<input type="checkbox"/>
Arkansas	<input type="checkbox"/>	<input type="checkbox"/>	Kansas	<input type="checkbox"/>	<input type="checkbox"/>	New Hampshire	<input type="checkbox"/>	<input type="checkbox"/>	South Dakota	<input type="checkbox"/>	<input type="checkbox"/>
California	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Kentucky	<input checked="" type="checkbox"/>	<input type="checkbox"/>	New Jersey	<input type="checkbox"/>	<input type="checkbox"/>	Tennessee	<input type="checkbox"/>	<input type="checkbox"/>
Colorado	<input type="checkbox"/>	<input type="checkbox"/>	Louisiana	<input type="checkbox"/>	<input type="checkbox"/>	New Mexico	<input type="checkbox"/>	<input type="checkbox"/>	Texas	<input type="checkbox"/>	<input type="checkbox"/>
Connecticut	<input type="checkbox"/>	<input type="checkbox"/>	Maine	<input type="checkbox"/>	<input type="checkbox"/>	New York	<input type="checkbox"/>	<input type="checkbox"/>	Utah	<input type="checkbox"/>	<input type="checkbox"/>
Delaware	<input type="checkbox"/>	<input type="checkbox"/>	Maryland	<input type="checkbox"/>	<input type="checkbox"/>	North Carolina	<input type="checkbox"/>	<input type="checkbox"/>	Vermont	<input type="checkbox"/>	<input type="checkbox"/>
District of Columbia	<input type="checkbox"/>	<input type="checkbox"/>	Massachusetts	<input type="checkbox"/>	<input type="checkbox"/>	North Dakota	<input type="checkbox"/>	<input type="checkbox"/>	Virginia	<input type="checkbox"/>	<input type="checkbox"/>
Florida	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Michigan	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Ohio	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Washington	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Georgia	<input type="checkbox"/>	<input type="checkbox"/>	Minnesota	<input type="checkbox"/>	<input type="checkbox"/>	Oklahoma	<input type="checkbox"/>	<input type="checkbox"/>	West Virginia	<input type="checkbox"/>	<input type="checkbox"/>
Hawaii	<input type="checkbox"/>	<input type="checkbox"/>	Mississippi	<input type="checkbox"/>	<input type="checkbox"/>	Oregon	<input type="checkbox"/>	<input type="checkbox"/>	Wisconsin	<input type="checkbox"/>	<input type="checkbox"/>
Idaho	<input type="checkbox"/>	<input type="checkbox"/>	Missouri	<input type="checkbox"/>	<input type="checkbox"/>	Pennsylvania	<input type="checkbox"/>	<input type="checkbox"/>	Wyoming	<input type="checkbox"/>	<input type="checkbox"/>

AGENT OF THE ISSUER REGISTRATION (AI) ☐ Indicate 2 letter *jurisdiction* code (s): _____**6. REGISTRATION REQUESTS WITH AFFILIATED FIRMS**Will *applicant* maintain registration with *firm(s)* under common ownership or control with the *filing firm*?
If "yes", fill in the details to indicate a request for registration with additional *firm(s)*.☐ Yes ☒ No

No Information Filed

7. EXAMINATION REQUESTS

Scheduling or Rescheduling Examinations Complete this section only if you are scheduling or rescheduling an examination or continuing education session. Do not select the Series 63 (S63) or Series 65 (S65) examinations in this section if you have completed Section 5 (JURISDICTION REGISTRATION) and have selected registration in a *jurisdiction*. If you have completed Section 5 (JURISDICTION REGISTRATION), and requested an AG registration in a *jurisdiction* that requires that you pass the S63 examination, an S63 examination will be automatically scheduled for you upon submission of this Form U4. If you have completed Section 5 (JURISDICTION REGISTRATION), and requested an RA registration in a *jurisdiction* that requires that you pass the S65 examination, an S65 examination will be automatically scheduled for you upon submission of this Form U4.

<input type="checkbox"/> S3	<input type="checkbox"/> S11	<input type="checkbox"/> S22	<input type="checkbox"/> S32	<input type="checkbox"/> S46	<input type="checkbox"/> S66
<input type="checkbox"/> S4	<input type="checkbox"/> S12	<input type="checkbox"/> S23	<input type="checkbox"/> S33	<input type="checkbox"/> S51	<input type="checkbox"/> S72
<input type="checkbox"/> S5	<input type="checkbox"/> S14	<input type="checkbox"/> S24	<input type="checkbox"/> S37	<input type="checkbox"/> S52	<input type="checkbox"/> S73
<input type="checkbox"/> S6	<input type="checkbox"/> S14A	<input type="checkbox"/> S25	<input type="checkbox"/> S38	<input type="checkbox"/> S53	<input type="checkbox"/> S82
<input type="checkbox"/> S7	<input type="checkbox"/> S15	<input type="checkbox"/> S26	<input type="checkbox"/> S39	<input type="checkbox"/> S55	<input type="checkbox"/> S86
<input type="checkbox"/> S7A	<input type="checkbox"/> S16	<input type="checkbox"/> S27	<input type="checkbox"/> S42	<input type="checkbox"/> S62	<input type="checkbox"/> S87
<input type="checkbox"/> S9	<input type="checkbox"/> S17	<input type="checkbox"/> S28	<input type="checkbox"/> S43	<input type="checkbox"/> S63	<input type="checkbox"/> S101
<input type="checkbox"/> S10	<input type="checkbox"/> S21	<input type="checkbox"/> S30	<input type="checkbox"/> S44	<input type="checkbox"/> S65	<input type="checkbox"/> S106
		<input type="checkbox"/> S31	<input type="checkbox"/> S45		<input type="checkbox"/> S201

Other _____ (Paper Form Only)

OPTIONAL: Foreign Exam City _____

Date (MM/DD/YYYY) _____

8. PROFESSIONAL DESIGNATIONS

Select each designation you currently maintain.

- ☐ Certified Financial Planner
- ☐ Chartered Financial Consultant (ChFC)
- ☐ Personal Financial Specialist (PFS)
- ☐ Chartered Financial Analyst (CFA)
- ☐ Chartered Investment Counselor (CIC)

9. IDENTIFYING INFORMATION/NAME CHANGE

First Name:

KEVIN

Suffix:

Middle Name:

JAMES

Date of Birth

(MM/DD/YYYY)

Last Name:

IMHOFF

State/Province of Birth

UNKNOWN

Country of Birth

Sex

☒ Male ☐ Female

Height (ft)

5

Height (in)

10

Weight (lbs)

165

Hair Color

Blond or Strawberry

Eye Color

Blue

10. OTHER NAMES

No Information Filed

11. RESIDENTIAL HISTORY

Starting with the current address, give all addresses for the past 5 years. Report changes as they occur.

From	To	Street	City	State	Country	Postal Code
12/1994	PRESENT	1534 SETTLERS HILL DRIVE	LANSING	MI	United States	48917
11/1989	12/1994	4210 CLAIRBORNE	LANSING	MI	United States	48917

12. EMPLOYMENT HISTORY

Provide complete employment history for the past 10 years. Include the *firm(s)* noted in Section 1 (GENERAL INFORMATION) and Section 6 (REGISTRATION REQUESTS WITH AFFILIATED FIRMS). Include all *firm(s)* from Section 3 (REGISTRATION WITH UNAFFILIATED FIRMS). Account for all time including full and part-time employments, self-employment, military service, and homemaking. Also include statuses such as unemployed, full-time education, extended travel, or other similar statuses. Report changes as they occur.

From	To	Name of Firm or Company	Investment-Related business?	City	State	Country	Position
06/1985	PRESENT	A.L. WILLIAMS	<input type="radio"/> Yes <input checked="" type="radio"/> No	GRAND RAPIDS	MI		SALES - Sales
09/2003	PRESENT	K&R IMHOFF ENTERPRISES LLC	<input type="radio"/> Yes <input checked="" type="radio"/> No	LANSING	MI		MEMBER/PARTNER
01/1986	PRESENT	PFS INVESTMENTS INC.	<input checked="" type="radio"/> Yes <input type="radio"/> No	DULUTH	GA		UNKNCONV

13. OTHER BUSINESS

Are you currently engaged in any other business either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise? (Please exclude non *investment-related* activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.) If YES, please provide the following details: the name of the other business, whether the business is *investment-related*, the address of the other business, the nature of the other business, your position, title, or relationship with the other business, the start date of your relationship, the approximate number of hours/month you devote to the other business, the number of hours you devote to the other business during securities trading hours, and briefly describe your duties relating to the other business.

☒ Yes ☐ No

SALES OF INVESTMENT-RELATED PRODUCTS, PART-TIME OR FULL-TIME, FOR COMPANIES AFFILIATED WITH PFS INVESTMENTS, INC. THE POSITION I HAVE WITH YURPLE AND JOJO'S FUNTIME PALACE IS AS A BOARD MEMEBER. THE LINE OF BUSINESS THEY ARE IN IS CHILD CARE AND PROFESSIONAL CLOWNING. WE MEET APPROXIMATLEY ONCE A MONTH TO DISCUSS BUSINESS PLANNING ISSUES. THE BUSINESS ADDRESS IS 2111 DESOTA LANSING MI 48911

14. DISCLOSURE QUESTIONS

IF THE ANSWER TO ANY OF THE FOLLOWING QUESTIONS IS 'YES', COMPLETE DETAILS OF ALL EVENTS OR PROCEEDINGS ON APPROPRIATE DRP(S)

REFER TO THE EXPLANATION OF TERMS SECTION OF FORM U4 INSTRUCTIONS FOR

EXPLANATIONS OF ITALICIZED TERMS.

Criminal Disclosure

- 14A. (1) Have you ever:** YES NO
- (a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any *felony*? ☐ ☒
- (b) been *charged* with any *felony*? ☐ ☒
- (2) Based upon activities that occurred while you exercised control over it, has an organization ever:**
- (a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic or foreign court to any *felony*? ☐ ☒
- (b) been *charged* with any *felony*? ☐ ☒
- 14B. (1) Have you ever:**
- (a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign or military court to a *misdemeanor involving*: investments or an *investment-related* business or any fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses? ☐ ☒
- (b) been *charged* with a *misdemeanor* specified in 14B(1)(a)? ☐ ☒
- (2) Based upon activities that occurred while you exercised control over it, has an organization ever:**
- (a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic or foreign court to a *misdemeanor* specified in 14B(1)(a)? ☐ ☒
- (b) been *charged* with a *misdemeanor* specified in 14B(1)(a)? ☐ ☒

Regulatory Action Disclosure

- 14C. Has the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission ever:** YES NO
- (1) *found* you to have made a false statement or omission? ☐ ☒
- (2) *found* you to have been *involved* in a violation of its regulations or statutes? ☐ ☒
- (3) *found* you to have been a cause of an *investment-related* business having its authorization to do business denied, suspended, revoked, or restricted? ☐ ☒
- (4) entered an *order* against you in connection with *investment-related* activity? ☐ ☒
- (5) imposed a civil money penalty on you, or *ordered* you to cease and desist from any activity? ☐ ☒
- 14D(1) Has any other Federal regulatory agency or any state regulatory agency or foreign financial regulatory authority ever:**
- (a) *found* you to have made a false statement or omission or been dishonest, unfair or unethical? ☐ ☒
- (b) *found* you to have been *involved* in a violation of *investment-related* regulation(s) or statute(s)? ☐ ☒
- (c) *found* you to have been a cause of an *investment-related* business having its authorization to do business denied, suspended, revoked or restricted? ☐ ☒
- (d) entered an *order* against you in connection with an *investment-related* activity? ☐ ☒
- (e) denied, suspended, or revoked your registration or license or otherwise, by *order*, prevented you from associating with an *investment-related* business or restricted your activities? ☐ ☒

14D(2) Have you been subject to any final order of a state securities commission (or any agency or officer performing like functions), state authority that supervises or examines banks, savings associations, or credit unions, state insurance commission (or any agency or office performing like functions), an appropriate federal banking agency, or the National Credit Union Administration, that:

- (a) bars you from association with an entity regulated by such commission, authority, agency, or officer, or from engaging in the business of securities, insurance, banking, savings association activities, or credit union activities; or ☐ ☒
- (b) constitutes a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? ☐ ☒

14E. Has any self-regulatory organization or commodities exchange ever:

- (1) found you to have made a false statement or omission? ☐ ☒
- (2) found you to have been involved in a violation of its rules (other than a violation designated as a "minor rule violation" under a plan approved by the U.S. Securities and Exchange Commission)? ☐ ☒
- (3) found you to have been the cause of an investment-related business having its authorization to do business denied, suspended, revoked or restricted? ☐ ☒
- (4) disciplined you by expelling or suspending you from membership, barring or suspending your association with its members, or restricting your activities? ☐ ☒

14F. Have you ever had an authorization to act as an attorney, accountant or federal contractor that was revoked or suspended? ☐ ☒

14G. Have you been notified, in writing, that you are now the subject of any:

- (1) regulatory complaint or proceeding that could result in a "yes" answer to any part of 14C, D or E? (If yes, complete the Regulatory Action Disclosure Reporting Page.) ☐ ☒
- (2) investigation that could result in a "yes" answer to any part of 14A, B, C, D or E? (If yes, complete the Investigation Disclosure Reporting Page.) ☐ ☒

Civil Judicial Disclosure

14H. (1) Has any domestic or foreign court ever: YES NO

- (a) enjoined you in connection with any investment-related activity? ☐ ☒
- (b) found that you were involved in a violation of any investment-related statute(s) or regulation(s)? ☐ ☒
- (c) dismissed, pursuant to a settlement agreement, an investment-related civil action brought against you by a state or foreign financial regulatory authority? ☐ ☒
- (2) Are you named in any pending investment-related civil action that could result in a "yes" answer to any part of 14H(1)? ☐ ☒

Customer Complaint/Arbitration/Civil Litigation Disclosure

14I. (1) Have you ever been named as a respondent/defendant in an investment-related, consumer-initiated arbitration or civil litigation which alleged that you were involved in one or more sales practice violations and which: YES NO

- (a) is still pending, or; ☐ ☒
- (b) resulted in an arbitration award or civil judgment against you, regardless of amount, or; ☐ ☒
- (c) was settled for an amount of \$10,000 or more? ☐ ☒

- (2) Have you ever been the subject of an investment-related, consumer-initiated complaint, not otherwise reported under question 14I(1) above, which alleged that you were involved in one or more sales practice violations, and which complaint was settled for an amount of \$10,000 or more? ☐ ☒

(3) Within the past twenty four (24) months, have you been the subject of an *investment-related, consumer-initiated, written complaint, not otherwise reported under question 14I(1) or (2) above, which:*

- (a) alleged that you were *involved* in one or more *sales practice violations* and contained a claim for compensatory damages of \$5,000 or more (if no damage amount is alleged, the complaint must be reported unless the firm has made a good faith determination that the damages from the alleged conduct would be less than \$5,000), or;
- (b) alleged that you were *involved* in forgery, theft, misappropriation or conversion of funds or securities?

Termination Disclosure

14J. Have you ever voluntarily *resigned*, been discharged or permitted to *resign* after allegations were made that accused you of: YES NO

- (1) violating *investment-related* statutes, regulations, rules, or industry standards of conduct? YES NO
- (2) fraud or the wrongful taking of property? YES NO
- (3) failure to supervise in connection with *investment-related* statutes, regulations, rules or industry standards of conduct? YES NO

Financial Disclosure

14K. Within the past 10 years: YES NO

- (1) have you made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition? YES NO
- (2) based upon events that occurred while you exercised *control* over it, has an organization made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition? YES NO
- (3) based upon events that occurred while you exercised *control* over it, has a broker or dealer been the subject of an involuntary bankruptcy petition, or had a trustee appointed, or had a direct payment procedure initiated under the Securities Investor Protection Act? YES NO

14L. Has a bonding company ever denied, paid out on, or revoked a bond for you? YES NO

14M. Do you have any unsatisfied judgments or liens against you? YES NO

15. SIGNATURE SECTION

Please Read Carefully

All signatures required on this Form U4 filing must be made in this section.

A "signature" includes a manual signature or an electronically transmitted equivalent. For purposes of an electronic form filing, a signature is effected by typing a name in the designated signature field. By typing a name in this field, the signatory acknowledges and represents that the entry constitutes in every way, use, or aspect, his or her legally binding signature.

15A INDIVIDUAL/APPLICANT'S ACKNOWLEDGMENT AND CONSENT
This section must be completed on all Initial or Temporary Registration form filings.

15B FIRM/APPROPRIATE SIGNATORY REPRESENTATIONS
This section must be completed on all Initial or Temporary Registration form filings.

15C TEMPORARY REGISTRATION ACKNOWLEDGMENT

This section must be completed on Temporary Registration form filings to be able to receive Temporary Registration.

15D INDIVIDUAL/APPLICANT'S AMENDMENT ACKNOWLEDGMENT AND CONSENT

This section must be completed on any amendment filing that amends any information in Section 14 (Disclosure Questions) or any Disclosure Reporting Page (DRP).

15E FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS

This section must be completed on all amendment form filings.

15F FIRM/APPROPRIATE SIGNATORY CONCURRENCE

This section must be completed to concur with a U4 filing made by another *firm* (IA/BD) on behalf of an individual that is also registered with that other *firm* (IA/BD).

15C. TEMPORARY REGISTRATION ACKNOWLEDGMENT

If an *applicant* has been registered in a *jurisdiction* or *self regulatory organization (SRO)* in the 30 days prior to the date an application for registration is filed with the Central Registration Depository or Investment Adviser Registration Depository, he or she may qualify for a Temporary Registration to conduct securities business in that *jurisdiction* or *SRO* if this acknowledgment is executed and filed with the Form U4 at the *applicant's firm*.

This acknowledgment must be signed only if the *applicant* intends to apply for a Temporary Registration while the application for registration is under review.

I request a Temporary Registration in each *jurisdiction* and/or *SRO* requested on this Form U4, while my registration with the *jurisdiction(s)* and/or *SRO(s)* requested is under review;

I am requesting a Temporary Registration with the *firm* filing on my behalf for the *jurisdiction(s)* and/or *SRO(s)* noted in Section 4 (SRO REGISTRATION) and/or Section 5 (JURISDICTION REGISTRATION) of this Form U4;

I understand that I may request a Temporary Registration only in those *jurisdiction(s)* and/or *SRO(s)* in which I have been registered with my prior *firm* within the previous 30 days;

I understand that I may not engage in any securities activities requiring registration in a *jurisdiction* and/or *SRO* until I have received notice from the CRD or IARD that I have been granted a Temporary Registration in that *jurisdiction* and/or *SRO*;

I agree that until the Temporary Registration has been replaced by a registration, any *jurisdiction* and/or *SRO* in which I have applied for registration may withdraw the Temporary Registration;

If a *jurisdiction* or *SRO* withdraws my Temporary Registration, my application will then be held pending in that *jurisdiction* and/or *SRO* until its review is complete and the registration is granted or denied, or the application is withdrawn;

I understand and agree that, in the event my Temporary Registration is withdrawn by a *jurisdiction* and/or *SRO*, I must immediately cease any securities activities requiring a registration in that *jurisdiction* and/or *SRO* until it grants my registration;

I understand that by executing this Acknowledgment I am agreeing not to challenge the withdrawal of a Temporary Registration; however, I do not waive any right I may have in any *jurisdiction* and/or *SRO* with respect to any decision by that *jurisdiction* and/or *SRO* to deny my application for registration.

Date (MM/DD/YYYY)

Signature of Applicant

Printed Name _____

15D. AMENDMENT INDIVIDUAL/APPLICANT'S ACKNOWLEDGMENT AND CONSENT

Date (MM/DD/YYYY)

Signature of *Applicant*

Printed Name _____

15E. FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS

Date (MM/DD/YYYY)
01/27/2004

Signature of *Appropriate Signatory*
W. MARK DOPSON

Printed Name _____

CRIMINAL DRP

No Information Filed

REGULATORY ACTION DRP

No Information Filed

CIVIL JUDICIAL DRP

No Information Filed

CUSTOMER COMPLAINT/ARBITRATION/CIVIL LITIGATION DRP

No Information Filed

TERMINATION DRP

No Information Filed

INVESTIGATION DRP

No Information Filed

BANKRUPTCY/SIPC/COMPROMISE WITH CREDITORS DRP

No Information Filed

BOND DRP

No Information Filed

JUDGMENT LIEN DRP

No Information Filed

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FORM U4 **UNIFORM APPLICATION FOR SECURITIES INDUSTRY** **REGISTRATION OR TRANSFER**

U4 - AMENDMENT 05/04/2006

Rev. Form U4 (10/2005)

Individual Name: IMHOFF, KEVIN JAMES (1464384)

Firm Name: PFS INVESTMENTS INC. (10111)

1. GENERAL INFORMATION

First Name: KEVIN	Middle Name: JAMES	Last Name: IMHOFF	Suffix:
Firm CRD #: 10111	Firm Name: PFS INVESTMENTS INC.	Employment Date (MM/DD/YYYY): 01/22/1986	
Firm Billing Code: 10111	Individual CRD #: 1464384	Individual SSN: 1246	

Do you have an independent contractor relationship with the above named firm?:

☒ Yes ☐ No

Office of Employment Address

CRD Branch #	NYSE Branch Code #	Firm Billing Address Code	Private Residence	Type of Office	Start Date	End Date
116697		S5460	924 CENTENNIAL N WAY SUITE 400 LANSING, MI 48917 UNITED STATES	Located At	01/22/1986	

2. FINGERPRINT INFORMATION

Electronic Filing Representation

- ☒ By selecting this option, I represent that I am submitting, have submitted, or promptly will submit to the appropriate SRO a fingerprint card as required under applicable SRO rules; or Fingerprint card barcode
- ☐ By selecting this option, I represent that I have been employed continuously by the filing firm since the last submission of a fingerprint card to CRD and am not required to resubmit a fingerprint card at this time; or,
- ☐ By selecting this option, I represent that I have been employed continuously by the filing firm and my fingerprints have been processed by an SRO other than NASD. I am submitting, have submitted, or promptly will submit the processed results for posting to CRD.

Exceptions to the Fingerprint Requirement

- ☐ By selecting one or more of the following two options, I affirm that I am exempt from the federal fingerprint requirement because I/filing firm currently satisfy(ies) the requirements of at least one of the permissive exemptions indicated below pursuant to Rule 17f-2 under the Securities Exchange Act of 1934, including any notice or application requirements specified therein:
- ☐ Rule 17f-2(a)(1)(I)
- ☐ Rule 17f-2(a)(1)(III)

Investment Adviser Representative Only Applicants

- ☒ I affirm that I am applying only as an investment adviser representative and that I am not also applying or have not also applied with this *firm* to become a broker-dealer representative. If this radio button/box is selected, continue below.
- ☒ I am applying for registration only in *jurisdictions* that do not have fingerprint card filing requirements, or
- ☒ I am applying for registration in *jurisdictions* that have fingerprint card filing requirements and I am submitting, have submitted, or promptly will submit the appropriate fingerprint card directly to the *jurisdictions* for processing pursuant to applicable *jurisdiction* rules.

3. REGISTRATIONS WITH UNAFFILIATED FIRMS

Some *jurisdictions* prohibit "dual registration," which occurs when an individual chooses to maintain a concurrent registration as a representative/agent with two or more *firms* (either BD or IA *firms*) that are not affiliated. *Jurisdictions* that prohibit dual registration would not, for example, permit a broker-dealer agent working with brokerage *firm* A to maintain a registration with brokerage *firm* B if *firms* A and B are not owned or controlled by a common parent. Before seeking a dual registration status, you should consult the applicable rules or statutes of the *jurisdictions* with which you seek registration for prohibitions on dual registrations or any liability provisions.

Please indicate whether the individual will maintain a "dual registration" status by answering the questions in this section. (Note: An individual should answer 'yes' only if the individual is currently registered and is seeking registration with a *firm* (either BD or IA) that is not affiliated with the individual's current employing *firm*. If this is an initial application, an individual must answer 'no' to these questions; a "dual registration" may be initiated only after an initial registration has been established).

Answer "yes" or "no" to the following questions:

- A. Will *applicant* maintain registration with a broker-dealer that is not *affiliated* with the *filing firm*? If you answer "yes," list the *firm(s)* in Section 12 (Employment History).
- B. Will *applicant* maintain registration with an investment adviser that is not *affiliated* with the *filing firm*? If you answer "yes," list the *firm(s)* in Section 12 (Employment History).

Yes No

☒ ☒
☒ ☒

4. SRO REGISTRATIONS

Check appropriate SRO Registration requests.

Qualifying examinations will be automatically scheduled if needed. If you are only scheduling or re-scheduling an exam, skip this section and complete Section 7 (EXAMINATION REQUESTS).

REGISTRATION CATEGORY	NASD	NYSE	AMEX	BATS	BSE	EDGA	EDGX	NSX	ARCA	CBOE	CHX	PHLX	ISE	NQX
OP - Registered Options Principal (S4)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
IR - Investment Company and Variable Contracts Products Rep. (S6)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					<input type="checkbox"/>						<input type="checkbox"/>
GS - Full Registration/General Securities Representative (S7)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
TR - Securities Trader (S7)		<input type="checkbox"/>	<input type="checkbox"/>					<input type="checkbox"/>						
TS - Trading		<input type="checkbox"/>	<input type="checkbox"/>					<input type="checkbox"/>						

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Supervisor (S7)

SU - General Securities Sales Supervisor (S9 and S10)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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BM - Branch Office Manager (S9 and S10)	<input type="checkbox"/>	<input type="checkbox"/>							
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SM - Securities Manager (S10)	<input type="checkbox"/>								
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AR - Assistant Representative/Order Processing (S11)	<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>		<input type="checkbox"/>
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REGISTRATION CATEGORY	NASD	NYSE	AMEX	BATS	BSE	EDGA	EDGX	NSX	ARCA	CBOE	CHX	PHLX	ISE	NQX
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IE - United Kingdom - Limited General Securities Registered Representative (S17)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>						<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>
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DR - Direct Participation Program Representative (S22)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					<input type="checkbox"/>			<input type="checkbox"/>			
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GP - General Securities Principal (S24)	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>			<input type="checkbox"/>
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IP - Investment Company and Variable Contracts Products Principal (S26)	<input checked="" type="checkbox"/>		<input type="checkbox"/>					<input type="checkbox"/>						<input type="checkbox"/>
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FA - Foreign Associate	<input type="checkbox"/>													
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FN - Financial and Operations Principal (S27)	<input type="checkbox"/>		<input type="checkbox"/>		<input type="checkbox"/>			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>
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FI - Introducing Broker- Dealer/Financial and Operations Principal (S28)	<input type="checkbox"/>							<input type="checkbox"/>			<input type="checkbox"/>			<input type="checkbox"/>
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RS - Research Analyst (S86, S87)	<input type="checkbox"/>	<input type="checkbox"/>												
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RP - Research Principal	<input type="checkbox"/>													
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DP - Direct Participation Program Principal (S39)	<input type="checkbox"/>		<input type="checkbox"/>					<input type="checkbox"/>			<input type="checkbox"/>			
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OR - Options														
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Representative (S42)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
REGISTRATION CATEGORY	NASD	NYSE	AMEX	BATS	BSE	EDGA	EDGX	NSX	ARCA	CBOE	CHX	PHLX	ISE
MR - Municipal Securities Representative (S52)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>					<input type="checkbox"/>			<input type="checkbox"/>		
MP - Municipal Securities Principal (S53)	<input type="checkbox"/>		<input type="checkbox"/>					<input type="checkbox"/>			<input type="checkbox"/>		
CS - Corporate Securities Representative (S62)	<input type="checkbox"/>		<input type="checkbox"/>					<input type="checkbox"/>			<input type="checkbox"/>		<input type="checkbox"/>
RG - Government Securities Representative (S72)	<input type="checkbox"/>												
PG - Government Securities Principal (S73)	<input type="checkbox"/>												
SA - Supervisory Analyst (S16)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>										
PR - Limited Representative - Private Securities Offerings (S82)	<input type="checkbox"/>		<input type="checkbox"/>										
CD - Canada-Limited General Securities Registered Representative (S37)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>						<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>
CN - Canada-Limited General Securities Registered Representative (S38)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>						<input type="checkbox"/>	<input type="checkbox"/>			<input type="checkbox"/>
REGISTRATION CATEGORY	NASD	NYSE	AMEX	BATS	BSE	EDGA	EDGX	NSX	ARCA	CBOE	CHX	PHLX	ISE
ET - Equity Trader (S55)	<input type="checkbox"/>		<input type="checkbox"/>					<input type="checkbox"/>					<input type="checkbox"/>
AM - Allied Member		<input type="checkbox"/>	<input type="checkbox"/>						<input type="checkbox"/>				
AP - Approved Person		<input type="checkbox"/>	<input type="checkbox"/>										
LE - Securities Lending Representative		<input type="checkbox"/>	<input type="checkbox"/>										
LS - Securities Lending Supervisor		<input type="checkbox"/>	<input type="checkbox"/>										
ME - Member Exchange		<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>			<input type="checkbox"/>				<input type="checkbox"/>	
FE - Floor Employee		<input type="checkbox"/>	<input type="checkbox"/>		<input type="checkbox"/>			<input type="checkbox"/>					

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OF - Officer ☐ ☐ ☐

CO - Compliance Official (S14) ☐

REGISTRATION CATEGORY NASD NYSE AMEX BATS BSE EDGA EDGX NSX ARCA CBOE CHX PHLX ISE NQX

CF - Compliance Official Specialist (S14A) ☐

PM - Floor Member Conducting Public Business ☐ ☐

PC - Floor Clerk Conducting Public Business ☐ ☐

SC - Specialist Clerk (S21) ☐ ☐

TA - Trading Assistant (S25) ☐

FP - Municipal Fund (S51) ☐

IF - In-Firm Delivery Proctor ☐ ☐

MM - Market Maker Authorized Trader-Options (S44) ☐

REGISTRATION CATEGORY NASD NYSE AMEX BATS BSE EDGA EDGX NSX ARCA CBOE CHX PHLX ISE NQX

FB - Floor Broker ☐

MB - Market Maker acting as Floor Broker ☐

OT - Authorized Trader (S7) ☐

MT - Market Maker Authorized Trader-Equities (S7) ☐

IB - Investment Banking Representative ☐

Other ☐

(Paper Form Only)

5. JURISDICTION REGISTRATION

Check appropriate *jurisdiction(s)* for broker-dealer agent (AG) and/or investment adviser representative (RA) registration requests.

JURISDICTION	AG	RA	JURISDICTION	AG	RA	JURISDICTION	AG	RA	JURISDICTION	AG	RA
Alabama	<input type="checkbox"/>	<input type="checkbox"/>	Illinois	<input type="checkbox"/>	<input type="checkbox"/>	Montana	<input type="checkbox"/>	<input type="checkbox"/>	Puerto Rico	<input type="checkbox"/>	<input type="checkbox"/>
Alaska	<input type="checkbox"/>	<input type="checkbox"/>	Indiana	<input type="checkbox"/>	<input type="checkbox"/>	Nebraska	<input type="checkbox"/>	<input type="checkbox"/>	Rhode Island	<input type="checkbox"/>	<input type="checkbox"/>
Arizona	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Iowa	<input type="checkbox"/>	<input type="checkbox"/>	Nevada	<input type="checkbox"/>	<input type="checkbox"/>	South Carolina	<input type="checkbox"/>	<input type="checkbox"/>
Arkansas	<input type="checkbox"/>	<input type="checkbox"/>	Kansas	<input type="checkbox"/>	<input type="checkbox"/>	New Hampshire	<input type="checkbox"/>	<input type="checkbox"/>	South Dakota	<input type="checkbox"/>	<input type="checkbox"/>
California	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Kentucky	<input checked="" type="checkbox"/>	<input type="checkbox"/>	New Jersey	<input type="checkbox"/>	<input type="checkbox"/>	Tennessee	<input type="checkbox"/>	<input type="checkbox"/>
Colorado	<input type="checkbox"/>	<input type="checkbox"/>	Louisiana	<input type="checkbox"/>	<input type="checkbox"/>	New Mexico	<input type="checkbox"/>	<input type="checkbox"/>	Texas	<input type="checkbox"/>	<input type="checkbox"/>
Connecticut	<input type="checkbox"/>	<input type="checkbox"/>	Maine	<input type="checkbox"/>	<input type="checkbox"/>	New York	<input type="checkbox"/>	<input type="checkbox"/>	Utah	<input type="checkbox"/>	<input type="checkbox"/>
Delaware	<input type="checkbox"/>	<input type="checkbox"/>	Maryland	<input type="checkbox"/>	<input type="checkbox"/>	North Carolina	<input type="checkbox"/>	<input type="checkbox"/>	Vermont	<input type="checkbox"/>	<input type="checkbox"/>
District of Columbia	<input type="checkbox"/>	<input type="checkbox"/>	Massachusetts	<input type="checkbox"/>	<input type="checkbox"/>	North Dakota	<input type="checkbox"/>	<input type="checkbox"/>	Virgin Islands	<input type="checkbox"/>	<input type="checkbox"/>
Florida	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Michigan	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Ohio	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Virginia	<input type="checkbox"/>	<input type="checkbox"/>
Georgia	<input type="checkbox"/>	<input type="checkbox"/>	Minnesota	<input type="checkbox"/>	<input type="checkbox"/>	Oklahoma	<input type="checkbox"/>	<input type="checkbox"/>	Washington	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Hawaii	<input type="checkbox"/>	<input type="checkbox"/>	Mississippi	<input type="checkbox"/>	<input type="checkbox"/>	Oregon	<input type="checkbox"/>	<input type="checkbox"/>	West Virginia	<input type="checkbox"/>	<input type="checkbox"/>
Idaho	<input type="checkbox"/>	<input type="checkbox"/>	Missouri	<input type="checkbox"/>	<input type="checkbox"/>	Pennsylvania	<input type="checkbox"/>	<input type="checkbox"/>	Wisconsin	<input type="checkbox"/>	<input type="checkbox"/>
									Wyoming	<input type="checkbox"/>	<input type="checkbox"/>

AGENT OF THE ISSUER REGISTRATION (AI) ☐ Indicate 2 letter jurisdiction code(s): _____

6. REGISTRATION REQUESTS WITH AFFILIATED FIRMS

Will applicant maintain registration with firm(s) under common ownership or control with the filing firm?
If "yes", fill in the details to indicate a request for registration with additional firm(s).

☐ Yes ☒ No

No Information Filed

7. EXAMINATION REQUESTS

Scheduling or Rescheduling Examinations Complete this section only if you are scheduling or rescheduling an examination or continuing education session. Do not select the Series 63 (S63) or Series 65 (S65) examinations in this section if you have completed Section 5 (JURISDICTION REGISTRATION) and have selected registration in a jurisdiction. If you have completed Section 5 (JURISDICTION REGISTRATION), and requested an AG registration in a jurisdiction that requires that you pass the S63 examination, an S63 examination will be automatically scheduled for you upon submission of this Form U4. If you have completed Section 5 (JURISDICTION REGISTRATION), and requested an RA registration in a jurisdiction that requires that you pass the S65 examination, an S65 examination will be automatically scheduled for you upon submission of this Form U4.

<input type="checkbox"/> S3	<input type="checkbox"/> S11	<input type="checkbox"/> S22	<input type="checkbox"/> S32	<input type="checkbox"/> S51	<input type="checkbox"/> S73
<input type="checkbox"/> S4	<input type="checkbox"/> S12	<input type="checkbox"/> S23	<input type="checkbox"/> S33	<input type="checkbox"/> S52	<input type="checkbox"/> S79
<input type="checkbox"/> S5	<input type="checkbox"/> S14	<input type="checkbox"/> S24	<input type="checkbox"/> S37	<input type="checkbox"/> S53	<input type="checkbox"/> S82
<input type="checkbox"/> S6	<input type="checkbox"/> S14A	<input type="checkbox"/> S25	<input type="checkbox"/> S38	<input type="checkbox"/> S55	<input type="checkbox"/> S86
<input type="checkbox"/> S7	<input type="checkbox"/> S15	<input type="checkbox"/> S26	<input type="checkbox"/> S39	<input type="checkbox"/> S62	<input type="checkbox"/> S87
<input type="checkbox"/> S7A	<input type="checkbox"/> S16	<input type="checkbox"/> S27	<input type="checkbox"/> S42	<input type="checkbox"/> S63	<input type="checkbox"/> S101

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☐ S9 ☐ S17 ☐ S28 ☐ S44 ☐ S65 ☐ S106
☐ S10 ☐ S21 ☐ S30 ☐ S45 ☐ S66 ☐ S201
☐ S31 ☐ S46 ☐ S72

Other _____ (Paper Form Only)

OPTIONAL: Foreign Exam City _____

Date (MM/DD/YYYY) _____

8. PROFESSIONAL DESIGNATIONS

Select each designation you currently maintain.

- ☐ Certified Financial Planner
☐ Chartered Financial Consultant (ChFC)
☐ Personal Financial Specialist (PFS)
☐ Chartered Financial Analyst (CFA)
☐ Chartered Investment Counselor (CIC)

9. IDENTIFYING INFORMATION/NAME CHANGE

First Name:

KEVIN

Suffix:

Middle Name:

JAMES

Date of Birth
(MM/DD/YYYY)

Last Name:

IMHOFF

State/Province of Birth

UNKNOWN

Country of Birth

Sex

☒ Male ☐ Female

Height (ft)

5

Height (in)

10

Weight (lbs)

165

Hair Color

Blond or Strawberry

Eye Color

Blue

10. OTHER NAMES

No Information Filed

11. RESIDENTIAL HISTORY

Starting with the current address, give all addresses for the past 5 years. Report changes as they occur.

From	To	Street	City	State	Country	Postal Code
12/1994	PRESENT	1534 SETTLERS HILL DRIVE	LANSING	MI	United States	48917
11/1989	12/1994	4210 CLAIRBORNE	LANSING	MI	United States	48917

12. EMPLOYMENT HISTORY

Provide complete employment history for the past 10 years. Include the *firm(s)* noted in Section 1 (GENERAL INFORMATION) and Section 6 (REGISTRATION REQUESTS WITH AFFILIATED FIRMS). Include all *firm(s)* from Section 3 (REGISTRATION WITH UNAFFILIATED FIRMS). Account for all time including full and part-time employments, self-employment, military service, and homemaking. Also include statuses such as unemployed, full-time education, extended travel, or other similar statuses. Report changes as they occur.

From	To	Name of Firm or Company	Investment-Related business?	City	State	Country	Position
06/1985	PRESENT	A.L. WILLIAMS	<input type="radio"/> Yes <input checked="" type="radio"/> No	GRAND RAPIDS	MI		SALES - Sales
09/2003	PRESENT	K&R IMHOFF ENTERPRISES LLC	<input type="radio"/> Yes <input checked="" type="radio"/> No	LANSING	MI		MEMBER/PARTNER
01/1986	PRESENT	PFS INVESTMENTS INC.	<input checked="" type="radio"/> Yes <input type="radio"/> No	DULUTH	GA		NOT PROVIDED

13. OTHER BUSINESS

Are you currently engaged in any other business either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise? (Please exclude non *investment-related* activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.) If YES, please provide the following details: the name of the other business, whether the business is *investment-related*, the address of the other business, the nature of the other business, your position, title, or relationship with the other business, the start date of your relationship, the approximate number of hours/month you devote to the other business, the number of hours you devote to the other business during securities trading hours, and briefly describe your duties relating to the other business.

☒ Yes ☐ No

SALES OF INVESTMENT-RELATED PRODUCTS, PART-TIME OR FULL-TIME, FOR COMPANIES AFFILIATED WITH PFS INVESTMENTS, INC. THE POSITION I HAVE WITH YURPLE AND JOJO'S FUNTIME PALACE IS AS A BOARD MEMEBER. THE LINE OF BUSINESS THEY ARE IN IS CHILD CARE AND PROFESSIONAL CLOWNING. WE MEET APPROXIMATLEY ONCE A MONTH TO DISCUSS BUSINESS PLANNING ISSUES. THE BUSINESS ADDRESS IS 2111 DESOTA LANSING MI 48911

14. DISCLOSURE QUESTIONS

IF THE ANSWER TO ANY OF THE FOLLOWING QUESTIONS IS 'YES', COMPLETE DETAILS OF ALL EVENTS OR PROCEEDINGS ON APPROPRIATE DRP(S)

REFER TO THE EXPLANATION OF TERMS SECTION OF FORM U4 INSTRUCTIONS FOR EXPLANATIONS OF ITALICIZED TERMS.

Criminal Disclosure**14A. (1) Have you ever:**

YES NO

(a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign, or military court to any *felony*? ☐ ☒

(b) been *charged* with any *felony*? ☐ ☒

(2) Based upon activities that occurred while you exercised control over it, has an organization ever:

(a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic or foreign court to any *felony*? ☐ ☒

(b) been *charged* with any *felony*? ☐ ☒

14B. (1) Have you ever:

(a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic, foreign or military court to a *misdemeanor involving*: investments or an *investment-related* business or any fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses? ☐ ☒

(b) been *charged* with a *misdemeanor* specified in 14B(1)(a)? ☐ ☒

(2) Based upon activities that occurred while you exercised control over it, has an organization ever:

- (a) been convicted of or pled guilty or nolo contendere ("no contest") in a domestic or foreign court to a *misdemeanor* specified in 14B(1)(a)? ☐ ☒
- (b) been *charged* with a *misdemeanor* specified in 14B(1)(a)? ☐ ☒

Regulatory Action Disclosure

- 14C. Has the U.S. Securities and Exchange Commission or the Commodity Futures Trading Commission ever:** YES NO
- (1) *found* you to have made a false statement or omission? ☐ ☒
- (2) *found* you to have been *involved* in a violation of its regulations or statutes? ☐ ☒
- (3) *found* you to have been a cause of an *investment-related* business having its authorization to do business denied, suspended, revoked, or restricted? ☐ ☒
- (4) entered an *order* against you in connection with *investment-related* activity? ☐ ☒
- (5) imposed a civil money penalty on you, or ordered you to cease and desist from any activity? ☐ ☒
-
- 14D(1) Has any other Federal regulatory agency or any state regulatory agency or foreign financial regulatory authority ever:**
- (a) *found* you to have made a false statement or omission or been dishonest, unfair or unethical? ☐ ☒
- (b) *found* you to have been *involved* in a violation of *investment-related* regulation(s) or statute(s)? ☐ ☒
- (c) *found* you to have been a cause of an *investment-related* business having its authorization to do business denied, suspended, revoked or restricted? ☐ ☒
- (d) entered an *order* against you in connection with an *investment-related* activity? ☐ ☒
- (e) denied, suspended, or revoked your registration or license or otherwise, by *order*, prevented you from associating with an *investment-related* business or restricted your activities? ☐ ☒
-
- 14D(2) Have you been subject to any final order of a state securities commission (or any agency or officer performing like functions), state authority that supervises or examines banks, savings associations, or credit unions, state insurance commission (or any agency or office performing like functions), an appropriate federal banking agency, or the National Credit Union Administration, that:**
- (a) bars you from association with an entity regulated by such commission, authority, agency, or officer, or from engaging in the business of securities, insurance, banking, savings association activities, or credit union activities; or ☐ ☒
- (b) constitutes a *final order* based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? ☐ ☒
-
- 14E. Has any self-regulatory organization or commodities exchange ever:**
- (1) *found* you to have made a false statement or omission? ☐ ☒
- (2) *found* you to have been *involved* in a violation of its rules (other than a violation designated as a "*minor rule violation*" under a plan approved by the U.S. Securities and Exchange Commission)? ☐ ☒
- (3) *found* you to have been the cause of an *investment-related* business having its authorization to do business denied, suspended, revoked or restricted? ☐ ☒
- (4) disciplined you by expelling or suspending you from membership, barring or suspending your association with its members, or restricting your activities? ☐ ☒
-
- 14F. Have you ever had an authorization to act as an attorney, accountant or federal contractor that was revoked or suspended?** ☐ ☒
-
- 14G. Have you been notified, in writing, that you are now the subject of any:**
- (1) regulatory complaint or *proceeding* that could result in a "yes" answer to any part of 14C, D or E? (If yes, complete the Regulatory Action Disclosure Reporting Page.) ☐ ☒

- (2) *Investigation* that could result in a "yes" answer to any part of 14A, B, C, D or E? (If yes, complete the *Investigation Disclosure Reporting Page*.) ☐ ☒

Civil Judicial Disclosure

- 14H. (1) Has any domestic or foreign court ever:** YES NO
- (a) *enjoined* you in connection with any *investment-related* activity? ☐ ☒
- (b) *found* that you were *involved* in a violation of any *investment-related* statute(s) or regulation(s)? ☐ ☒
- (c) dismissed, pursuant to a settlement agreement, an *investment-related* civil action brought against you by a state or foreign financial regulatory authority? ☐ ☒
- (2) Are you named in any pending *investment-related* civil action that could result in a "yes" answer to any part of 14H(1)?** ☐ ☒

Customer Complaint/Arbitration/Civil Litigation Disclosure

- 14I. (1) Have you ever been named as a respondent/defendant in an *investment-related*, consumer-initiated arbitration or civil litigation which alleged that you were *involved* in one or more *sales practice violations* and which:** YES NO
- (a) is still pending, or; ☐ ☒
- (b) resulted in an arbitration award or civil judgment against you, regardless of amount, or; ☐ ☒
- (c) was settled for an amount of \$10,000 or more? ☐ ☒
- (2) Have you ever been the subject of an *investment-related*, consumer-initiated complaint, not otherwise reported under question 14I(1) above, which alleged that you were *involved* in one or more *sales practice violations*, and which complaint was settled for an amount of \$10,000 or more?** ☐ ☒
- (3) Within the past twenty four (24) months, have you been the subject of an *investment-related*, consumer-initiated, written complaint, not otherwise reported under question 14I(1) or (2) above, which:**
- (a) alleged that you were *involved* in one or more *sales practice violations* and contained a claim for compensatory damages of \$5,000 or more (if no damage amount is alleged, the complaint must be reported unless the firm has made a good faith determination that the damages from the alleged conduct would be less than \$5,000), or; ☐ ☒
- (b) alleged that you were *involved* in forgery, theft, misappropriation or conversion of funds or securities? ☐ ☒

Termination Disclosure

- 14J. Have you ever voluntarily *resigned*, been discharged or permitted to *resign* after allegations were made that accused you of:** YES NO
- (1) violating *investment-related* statutes, regulations, rules, or industry standards of conduct? ☐ ☒
- (2) fraud or the wrongful taking of property? ☐ ☒
- (3) failure to supervise in connection with *investment-related* statutes, regulations, rules or industry standards of conduct? ☐ ☒

Financial Disclosure

- 14K. Within the past 10 years:** YES NO
- (1) have you made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition? ☐ ☒
- (2) based upon events that occurred while you exercised *control* over it, has an organization made a compromise with creditors, filed a bankruptcy petition or been the subject of an involuntary bankruptcy petition? ☐ ☒
- (3) based upon events that occurred while you exercised *control* over it, has a broker or dealer been the subject of an involuntary bankruptcy petition, or had a trustee appointed, or had a direct payment procedure initiated under the Securities Investor Protection Act? ☐ ☒
- 14L. Has a bonding company ever denied, paid out on, or revoked a bond for you?** ☐ ☒

14M. Do you have any unsatisfied judgments or liens against you?**15. SIGNATURE SECTION****Please Read Carefully**

All signatures required on this Form U4 filing must be made in this section.

A "signature" includes a manual signature or an electronically transmitted equivalent. For purposes of an electronic form filing, a signature is effected by typing a name in the designated signature field. By typing a name in this field, the signatory acknowledges and represents that the entry constitutes in every way, use, or aspect, his or her legally binding signature.

- 15A INDIVIDUAL/APPLICANT'S ACKNOWLEDGMENT AND CONSENT**
This section must be completed on all initial or Temporary Registration form filings.
- 15B FIRM/APPROPRIATE SIGNATORY REPRESENTATIONS**
This section must be completed on all Initial or Temporary Registration form filings.
- 15C TEMPORARY REGISTRATION ACKNOWLEDGMENT**
This section must be completed on Temporary Registration form filings to be able to receive Temporary Registration.
- 15D INDIVIDUAL/APPLICANT'S AMENDMENT ACKNOWLEDGMENT AND CONSENT**
This section must be completed on any amendment filing that amends any information in Section 14 (Disclosure Questions) or any Disclosure Reporting Page (DRP).
- 15E FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS**
This section must be completed on all amendment form filings.
- 15F FIRM/APPROPRIATE SIGNATORY CONCURRENCE**
This section must be completed to concur with a U4 filing made by another *firm* (IA/BD) on behalf of an individual that is also registered with that other *firm* (IA/BD).

15C. TEMPORARY REGISTRATION ACKNOWLEDGMENT

If an *applicant* has been registered in a *jurisdiction* or *self regulatory organization (SRO)* in the 30 days prior to the date an application for registration is filed with the Central Registration Depository or Investment Adviser Registration Depository, he or she may qualify for a Temporary Registration to conduct securities business in that *jurisdiction* or *SRO* if this acknowledgment is executed and filed with the Form U4 at the *applicant's firm*.

This acknowledgment must be signed only if the *applicant* intends to apply for a Temporary Registration while the application for registration is under review.

I request a Temporary Registration in each *jurisdiction* and/or *SRO* requested on this Form U4, while my registration with the *jurisdiction(s)* and/or *SRO(s)* requested is under review;

I am requesting a Temporary Registration with the *firm* filing on my behalf for the *jurisdiction(s)* and/or *SRO(s)* noted in Section 4 (SRO REGISTRATION) and/or Section 5 (JURISDICTION REGISTRATION) of this Form U4;

I understand that I may request a Temporary Registration only in those *jurisdiction(s)* and/or *SRO(s)* in which I have been registered with my prior *firm* within the previous 30 days;

I understand that I may not engage in any securities activities requiring registration in a *jurisdiction* and/or *SRO* until I have received notice from the CRD or IARD that I have been granted a Temporary Registration in that *jurisdiction* and/or *SRO*;

I agree that until the Temporary Registration has been replaced by a registration, any *jurisdiction* and/or *SRO* in which I have applied for registration may withdraw the Temporary Registration;

If a *jurisdiction* or *SRO* withdraws my Temporary Registration, my application will then be held pending in that *jurisdiction* and/or *SRO* until its review is complete and the registration is granted or denied, or the application is withdrawn;

I understand and agree that, in the event my Temporary Registration is withdrawn by a *jurisdiction* and/or *SRO*, I must immediately cease any securities activities requiring a registration in that *jurisdiction* and/or

SRO until it grants my registration;

I understand that by executing this Acknowledgment I am agreeing not to challenge the withdrawal of a Temporary Registration; however, I do not waive any right I may have in any *jurisdiction* and/or SRO with respect to any decision by that *jurisdiction* and/or SRO to deny my application for registration.

Date (MM/DD/YYYY)

Signature of Applicant

Signature _____

15D. AMENDMENT INDIVIDUAL/APPLICANT'S ACKNOWLEDGMENT AND CONSENT

Date (MM/DD/YYYY)

Signature of Applicant

Signature _____

15E. FIRM/APPROPRIATE SIGNATORY AMENDMENT REPRESENTATIONS

Date (MM/DD/YYYY)
05/04/2006

Signature of Appropriate Signatory
KURT J SIMMONS

Signature _____

BANKRUPTCY/SIPC/COMPROMISE WITH CREDITORS DRP

No Information Filed

BOND DRP

No Information Filed

CIVIL JUDICIAL DRP

No Information Filed

CRIMINAL DRP

No Information Filed

CUSTOMER COMPLAINT/ARBITRATION/CIVIL LITIGATION DRP

No Information Filed

INVESTIGATION DRP

No Information Filed

JUDGMENT LIEN DRP

No Information Filed

REGULATORY ACTION DRP

No Information Filed

TERMINATION DRP

No Information Filed

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